



NATIONAL SCIENCE FOUNDATION

**Division of Atmospheric Sciences
4201 Wilson Boulevard
Arlington, VA 22230**

January 21, 1997

Dear Colleague:

The Division of Atmospheric Sciences of the National Science Foundation (NSF), National Aeronautics and Space Administration (NASA), the National Oceanic and Atmospheric Administration (NOAA), and the Office of Naval Research (ONR) intend to provide support for a program of targeted research under the U.S. Weather Research Program (USWRP). Selected research areas were identified jointly by the agencies based upon advice from the atmospheric sciences research community. Each agency will utilize its traditional methods for evaluation and support of appropriate research. Additionally, however, all award actions will be coordinated among the agencies. For Fiscal Year 1997, NSF, NOAA and NASA will jointly solicit and evaluate proposals. In a program announcement to appear in February 1997 for Fiscal Year 1998 support, ONR will solicit proposals on these research topics with an emphasis on coastal and marine applications. A description of the NSF, NOAA and NASA program for Fiscal Year 1997 including proposal submission and evaluation processes are given below.

PROGRAM DESCRIPTION:

The overarching USWRP objective is to improve the specificity, accuracy, and reliability of weather forecasts for disruptive, high impact weather. The USWRP has established as its initial focus a coordinated effort to determine the "best practicable mix" of observations, data assimilation schemes, and forecast models for operations beyond the year 2000. USWRP research will consist of:

- * technique development associated with measurements, observational strategies, data assimilation, and numerical models;
- * fundamental studies to improve understanding and to develop improved parameterizations of physical processes;
- * demonstrations of improved prediction capabilities in research mode.

Projects that exploit operational data, existing research facilities and data sets, operational models, and current research models may be appropriate in many instances.

For Fiscal Year 1997, it is anticipated that ten to twenty awards will be made under this joint program, for a program total of approximately \$2 million, depending on the availability of funds.

Research proposals are solicited that address one or more of the following:

1. Studies Related to the Importance and Mix of Observations ^{*} (as these affect 0 - 4 day forecast accuracy over North America).
 - data sensitivity experiments using and denying combinations of data, including data from satellites
 - observing system simulation experiments to evaluate prospective data sources
 - adaptive observing strategies for data-sparse or data-sensitive regions or complex terrain
 - application of adjoint techniques, error breeding, ensemble forecasts, and new statistical techniques as means to quantify forecast uncertainty or sensitivity
 - variational assimilation of standard and "non-standard" observations for regional and smaller scale forecasting
2. Studies Related to Quantitative Precipitation Forecasting
 - estimation and depiction of water vapor distribution
 - radar and satellite estimation of precipitation amount and type
 - mechanisms for forcing, initiation and dissipation of convection
 - orographic precipitation, both stable and convective
 - improved physics, including microphysics, vegetation, soil effects, and explicit representation of convection in forecast models
 - predictability, the value of ensemble forecasting at the mesoscale
 - very short-term forecasting techniques that combine recent observations and models
 - techniques to verify mesoscale prediction of precipitation
3. Studies Related to Hurricane Forecasts Near Landfall
 - mechanisms for rapid intensity change, including oceanic and tropospheric interactions
 - initialization of dynamical hurricane models with radar and targeted *in situ* data
 - nowcasting storm intensity and tendency from satellite and radar
 - mechanisms underlying the occurrence and prediction of hazards such as extreme winds, rainfall, tornadoes, storm surge, fresh water flooding
 - adaptive observing strategies for forecasts within and beyond 2 days
 - effects of coastlines and coastal mountains

^{*} This focus embodies objectives of NOAA's North American Atmospheric Observing System Program (NAOS). A copy of testable hypotheses developed by the NAOS Test and Evaluation Working Group (T&EWG) can be obtained from the NSF contact or the Chair of the T&EWG.

ELIGIBILITY AND PROPOSAL SUBMISSION PROCESS:

NSF and NOAA will jointly provide support for traditional NSF grantees (primarily university investigators). These two agencies strongly suggest that proposed research complement research being conducted within NSF and NOAA national laboratories and centers. NASA will provide support for its traditional grantees including university investigators **and** researchers from NASA Laboratories. While there will be separate submission processes of proposals to these two groups (NSF/NOAA and NASA), they will utilize a common preproposal process. The submission process for pre- and full proposals is described below.

Preliminary Proposals

Interested scientists should submit **twelve copies** of a brief preliminary letter proposal that must be no longer than four pages including text, references and any figures. Please note that **this page limit will be strictly enforced**. The preliminary proposal should contain: project title, name of Principal Investigator(s) including mail and e-mail addresses, phone and fax numbers, project goals and proposed methodology. **Submissions must be by mail and preliminary proposals must be received at NSF by February 19, 1997**. Preliminary proposals should be sent to Dr. Stephan Nelson at the address indicated in the attachment.

Preliminary proposals will be reviewed by NSF, NOAA and NASA for project appropriateness. Each principal investigator will be advised as to whether his or her proposed topic meets the broad criteria, intent and scope of the program. Principal Investigators that have been encouraged to submit proposals also will be informed as to which agency their proposal should be submitted.

Full Proposals Submitted to NSF/NOAA:

Full proposals submitted subsequent to preliminary proposals should be prepared and submitted in accordance with NSF 95-27, Grant Proposal Guide. The Guide can be obtained from the Forms and Publication Unit, NSF, Arlington, 22230 or by electronic mail to pubs@nsf.gov. The cover sheet should be labeled for submission to the "Division of Atmospheric Sciences -- USWRP". **Proposals must be postmarked no later than April 18, 1997**.

Proposals will be evaluated using standard NSF procedures as described in the NSF Grant Proposal Guide, NSF 95-27. In addition to the regular NSF evaluation criteria, reviewers will be asked to comment on the potential of the research to advance the objectives of the USWRP. Awards will be made by NSF following consultation and coordination with NOAA, NASA and ONR.

The enclosed sheets provide additional information about the submission of proposals to the NSF and acquiring NSF information and publications. For further information, please contact Dr. Stephan Nelson.

Full Proposals Submitted to NASA:

Details on the requirements for submission to NASA can be found on the Internet at "<http://www.hq.nasa.gov/office/mtpe/>" under the MTPE Research Announcements Section. NASA will be seeking proposals which make use of remotely sensed data (satellite, aircraft, surface based) through data fusion, model development, or understanding of processes which address the USWRP objectives. Highest priority will be given to those proposals which address "Studies Related to Hurricane Forecasts Near Landfall". Next highest priority will be given to "Studies Related to Quantitative Precipitation Forecasting". In addition to the regular NASA evaluation criteria, proposers will be asked to comment on the potential of the research to advance the objectives of the USWRP as well as to advance NASA's requirement to expand the scientific knowledge of the Earth system using NASA's unique capabilities from the vantage points of space, aircraft, and *in situ* platforms. The cover sheet should be labeled for submission to the "Science Division/ Mission to Planet Earth—USWRP". Awards will be made by NASA following consultation and coordination with NSF, NOAA and ONR. For further information, please contact Dr. James Arnold.

The agencies collectively look forward to a productive research program. Questions concerning the USWRP should be directed to Dr. William Hooke, Director of the USWRP Program Office; inquiries about this "Dear Colleague Letter" should be directed to Dr. Stephan P. Nelson; and

questions concerning each agency's granting activities should be directed towards the appropriate agency representative. Contact information for Drs. Hooke, Nelson, and agency representatives is given in the attachment.

Sincerely,
ORIGINAL SIGNED BY

Stephan P. Nelson
Program Director for
Mesoscale Dynamic Meteorology

Enclosures

**CONTACT INFORMATION
FOR
KEY PERSONNEL**

USWRP PROGRAM OFFICE:

Dr. William Hooke
Director, U.S. Weather Research Program
National Oceanic and Atmospheric Administration
1315 East-West Highway
SSMC-3, Room 11360
Silver Spring, MD 20910

Office: 301-713-0460
Fax: 301-713-0666
E-mail: william.hooke@noaa.gov

NATIONAL SCIENCE FOUNDATION:

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National Science Foundation
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4201 Wilson Blvd.
Arlington, VA 22230

Office: 703-306-1526
Fax: 703-306-0377
E-mail: snelson@nsf.gov

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION:

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NASA Headquarters
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OFFICE OF NAVAL RESEARCH:

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NORTH AMERICAN OBSERVING SYSTEM

Dr. Thomas Schlatter
Chair, NAOS Test and
Evaluation Working Group
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INSTRUCTIONS FOR RESPONDING TO NASA RESEARCH ANNOUNCEMENTS (JUNE 1995)

1. Foreword

a. These instructions apply to NASA Research Announcements. The "NASA Research Announcement (NRA)" permits competitive selection of research projects in accordance with statute while preserving the traditional concepts and understandings associated with NASA sponsorship of research.

b. These instructions are Appendix I to 1870.203 of the NASA Federal Acquisition Regulation Supplement.

2. Policy

a. Proposals received in response to an NRA will be used only for evaluation purposes. NASA does not allow a proposal, the contents of which are not available without restriction from another source, or any unique ideas submitted in response to an NRA to be used as the basis of a solicitation or in negotiation with other organizations, nor is a pre-award synopsis published for individual proposals.

b. A solicited proposal that results in a NASA award becomes part of the record of that transaction and may be available to the public on specific request; however, information or material that NASA and the awardee mutually agree to be of a privileged nature will be held in confidence to the extent permitted by law, including the Freedom of Information Act.

3. Purpose

These instructions supplement documents identified as "NASA Research Announcements." The NRAs contain programmatic information and certain requirements which apply only to proposals prepared in response to that particular announcement. These instructions contain the general proposal preparation information which applies to responses to all NRAs.

4. Relationship to Award

a. A contract, grant, cooperative agreement, or other agreement may be used to accomplish an effort funded in response to an NRA. NASA will determine the appropriate instrument.

b. Grants are generally used to fund basic research in educational and nonprofit institutions, while research in other private sector organizations is accomplished under contract. Contracts resulting from NRAs are subject to the Federal Acquisition Regulation and the NASA FAR Supplement (NHB 5100.4). Any resultant grants or cooperative agreements will be awarded and administered in accordance with the NASA Grant and Cooperative Agreement Handbook (NHB 5800.1).

5. Conformance to Guidance

a. NASA does not have mandatory forms or formats for preparation of responses to NRAs; however, it is requested that proposals conform to the guidelines in these instructions. NASA may accept proposals without discussion; hence, proposals should initially be as complete as possible and be submitted on the proposers' most favorable terms.

b. In order to be considered responsive, a submission must, at a minimum, present a specific project within the areas delineated by the NRA; contain sufficient technical and cost information to permit a meaningful evaluation; be signed by an official authorized to legally bind the submitting organization; not merely offer to perform standard services or to just provide computer facilities or services; and not significantly duplicate a more specific current or pending NASA solicitation.

6. NRA-Specific Items

a. Several proposal submission items appear in the NRA itself. These include: the unique NRA identifier; when to submit proposals; where to send proposals; number of copies required; and sources for more information. Items included in these instructions may be supplemented by the NRA.

7. Proposal Contents

a. The following information is needed in all proposals in order to permit consideration in an objective manner. NRAs will generally specify topics for which additional information or greater detail is desirable. Each proposal copy shall contain all submitted material, including a copy of the transmittal letter if it contains substantive information.

b. Transmittal Letter or Prefatory Material. (1) The legal name and address of the organization and specific division or campus identification if part of a larger organization;

(2) A brief, scientifically valid project title intelligible to a scientifically literate reader and suitable for use in the public press;

(3) Type of organization: e.g., profit, nonprofit, educational, small business, minority, women-owned, etc.;

(4) Name and telephone number of the principal investigator and business personnel who may be contacted during evaluation or negotiation;

(5) Identification of other organizations that are currently evaluating a proposal for the same efforts;

(6) Identification of the NRA, by number and title, to which the proposal is responding;

(7) Dollar amount requested, desired starting date, and duration of project;

(8) Date of submission; and

(9) Signature of a responsible official or authorized representative of the organization, or any other person authorized to legally bind the organization (unless the signature appears on the proposal itself).

c. Restriction on Use and Disclosure of Proposal Information

Information contained in proposals is used for evaluation purposes only. Offerors or quoters should, in order to maximize protection of trade secrets or other information that is confidential or privileged, place the following notice on the title page of the proposal and specify the information subject to the notice by inserting appropriate identification, such as page numbers, in the notice. In any event, information contained in proposals will be protected to the extent permitted by law, but NASA assumes no liability for use and disclosure of information not made subject to the notice.

NOTICE

Restriction on Use and Disclosure of Proposal Information. The information (data) contained in [insert page numbers or other identification] of this proposal constitutes a trade secret and/or information that is commercial or financial and confidential or privileged. It is furnished to the

Government in confidence with the understanding that it will not, without permission of the offeror, be used or disclosed other than for evaluation purposes; provided, however, that in the event a contract (or other agreement) is awarded on the basis of this proposal the Government shall have the right to use and disclose this information (data) to the extent provided in the contract (or other agreement). This restriction does not limit the Government's right to use or disclose this information (data) if obtained from another source without restriction.

d. **Abstract.** Include a concise (200-300 word if not otherwise specified in the NRA) abstract describing the objective and the method of approach.

e. **Project Description.** (1) The main body of the proposal shall be a detailed statement of the work to be undertaken and should include objectives and expected significance; relation to the present state of knowledge; and relation to previous work done on the project and to related work in progress elsewhere. The statement should outline the plan of work, including the broad design of experiments to be undertaken and a description of experimental methods and procedures. The project description should address the evaluation factors in these instructions and any specific factors in the NRA. Any substantial collaboration with individuals not referred to in the budget or use of consultants should be described. Subcontracting significant portions of a research project is discouraged.

(2) When it is expected that the effort will require more than one year for completion, the proposal should cover the complete project to the extent that it can be reasonably anticipated. Principal emphasis should, of course, be on the first year of work, and the description should distinguish clearly between the first year's work and work planned for subsequent years.

f. **Management Approach.** For large or complex efforts involving interactions among numerous individuals or other organizations, plans for distribution of responsibilities and arrangements for ensuring a coordinated effort should be described. Intensive working relations with NASA field centers that are not logical inclusions elsewhere in the proposal should be described.

g. **Personnel.** The principal investigator is responsible for supervision of the work and participates in the conduct of the research regardless of whether or not compensated under the award. A short biographical sketch of the principal investigator, a list of principal publications and any exceptional qualifications should be included. Omit social security number and other personal items which do not merit consideration in evaluation of the proposal. Give similar biographical information on other senior professional personnel who will be directly associated with the project. Give the names and titles of any other scientists and technical personnel associated substantially with the project in an advisory capacity. Universities should list the approximate number of students or other assistants, together with information as to their level of academic attainment. Any special industry- university cooperative arrangements should be described.

h. **Facilities and Equipment.** (1) Describe available facilities and major items of equipment especially adapted or suited to the proposed project, and any additional major equipment that will be required. Identify any Government-owned facilities, industrial plant equipment, or special tooling that are proposed for use.

(2) Before requesting a major item of capital equipment, the proposer should determine if sharing or loan of equipment already within the organization is a feasible alternative. Where such arrangements cannot be made, the proposal should so state. The need for items that typically can be used for research and non-research purposes should be explained.

i. **Proposed Costs.** (1) Proposals should contain cost and technical parts in one volume: do not use separate "confidential" salary pages. As applicable, include separate cost estimates for salaries and wages; fringe benefits; equipment; expendable materials and supplies; services; domestic and foreign travel; ADP expenses; publication or page charges; consultants; subcontracts; other miscellaneous identifiable direct costs; and indirect costs. List salaries and wages in appropriate organizational categories (e.g., principal investigator, other scientific and engineering

professionals, graduate students, research assistants, and technicians and other non-professional personnel). Estimate all manpower data in terms of man-months or fractions of full-time.

(2) Explanatory notes should accompany the cost proposal to provide identification and estimated cost of major capital equipment items to be acquired; purpose and estimated number and lengths of trips planned; basis for indirect cost computation (including date of most recent negotiation and cognizant agency); and clarification of other items in the cost proposal that are not self-evident. List estimated expenses as yearly requirements by major work phases. (Standard Form 1411 may be used).

(3) Allowable costs are governed by FAR Part 31 and the NASA FAR Supplement Part 18-31 (and OMB Circulars A-21 for educational institutions and A-122 for nonprofit organizations).

j. **Security.** Proposals should not contain security classified material. If the research requires access to or may generate security classified information, the submitter will be required to comply with Government security regulations.

k. **Current Support.** For other current projects being conducted by the principal investigator, provide title of project, sponsoring agency, and ending date.

l. **Special Matters.** (1) Include any required statements of environmental impact of the research, human subject or animal care provisions, conflict of interest, or on such other topics as may be required by the nature of the effort and current statutes, executive orders, or other current Government-wide guidelines.

(2) Proposers should include a brief description of the organization, its facilities, and previous work experience in the field of the proposal. Identify the cognizant Government audit agency, inspection agency, and administrative contracting officer, when applicable.

8. Renewal Proposals

a. Renewal proposals for existing awards will be considered in the same manner as proposals for new endeavors. A renewal proposal should not repeat all of the information that was in the original proposal. The renewal proposal should refer to its predecessor, update the parts that are no longer current, and indicate what elements of the research are expected to be covered during the period for which support is desired. A description of any significant findings since the most recent progress report should be included. The renewal proposal should treat, in reasonable detail, the plans for the next period, contain a cost estimate, and otherwise adhere to these instructions.

b. NASA may renew an effort either through amendment of an existing contract or by a new award.

9. Length

Unless otherwise specified in the NRA, effort should be made to keep proposals as brief as possible, concentrating on substantive material. Few proposals need exceed 15-20 pages. Necessary detailed information, such as reprints, should be included as attachments. A complete set of attachments is necessary for each copy of the proposal. As proposals are not returned, avoid use of "one-of-a-kind" attachments: their availability may be mentioned in the proposal.

10. Joint Proposals

a. Where multiple organizations are involved, the proposal may be submitted by only one of them. It should clearly describe the role to be played by the other organizations and indicate the legal and managerial arrangements contemplated. In other instances, simultaneous submission of related proposals from each organization might be appropriate, in which case parallel awards would be made.

b. Where a project of a cooperative nature with NASA is contemplated, describe the contributions expected from any participating NASA investigator and agency facilities or equipment which may be required. The proposal must be confined only to that which the proposing organization can commit itself. "Joint" proposals which specify the internal arrangements NASA will actually make are not acceptable as a means of establishing an agency commitment.

11. Late Proposals

A proposal or modification received after the date or dates specified in an NRA may be considered if the selecting official deems it to offer NASA a significant technical advantage or cost reduction.

12. Withdrawal

Proposals may be withdrawn by the proposer at any time. Offerors are requested to notify NASA if the proposal is funded by another organization or of other changed circumstances which dictate termination of evaluation.

13. Evaluation Factors

a. Unless otherwise specified in the NRA, the principal elements (of approximately equal weight) considered in evaluating a proposal are its relevance to NASA's objectives, intrinsic merit, and cost.

b. Evaluation of a proposal's relevance to NASA's objectives includes the consideration of the potential contribution of the effort to NASA's mission.

c. Evaluation of its intrinsic merit includes the consideration of the following factors, none of which is more important than any other:

(1) Overall scientific or technical merit of the proposal or unique and innovative methods, approaches, or concepts demonstrated by the proposal.

(2) Offeror's capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the proposal objectives.

(3) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives.

(4) Overall standing among similar proposals and/or evaluation against the state-of-the-art.

d. Evaluation of the cost of a proposed effort includes the realism and reasonableness of the proposed cost and the relationship of the proposed cost and available funds.

14. Evaluation Techniques

Selection decisions will be made following peer and/or scientific review of the proposals. Several evaluation techniques are regularly used within NASA. In all cases proposals are subject to scientific review by discipline specialists in the area of the proposal. Some proposals are reviewed entirely in-house, others are evaluated by a combination of in-house and selected external reviewers, while yet others are subject to the full external peer review technique (with due regard for conflict-of-interest and protection of proposal information), such as by mail or through assembled panels. The final decisions are made by a NASA selecting official. A proposal which is scientifically and programmatically meritorious, but not selected for award during its initial review, may be included in subsequent reviews unless the proposer requests otherwise.

15. Selection for Award

a. When a proposal is not selected for award, and the proposer has indicated that the proposal is not to be held over for subsequent reviews, the proposer will be notified. NASA will explain generally why the proposal was not selected. Proposers desiring additional information may contact the selecting official who will arrange a debriefing.

b. When a proposal is selected for award, negotiation and award will be handled by the procurement office in the funding installation. The proposal is used as the basis for negotiation. The contracting officer may request certain business data and may forward a model contract and other information which will be of use during the contract negotiation.

16. Cancellation of NRA

NASA reserves the right to make no awards under this NRA and to cancel this NRA. NASA assumes no liability for canceling the NRA or for anyone's failure to receive actual notice of cancellation. Cancellation may be followed by issuance and synopsis of a revised NRA, since amendment of an NRA is normally not permitted.

GUIDELINES FOR FOREIGN PARTICIPATION

NASA accepts proposals from entities located outside the U.S. in response to this NRA. Proposals from non-U.S. entities should not include a cost plan. Non-U.S. proposals, and U.S. Proposals that include non-U.S. participation, must be endorsed by the respective government agency or funding/sponsoring institution in the country from which the non-U.S. participant is proposing. Such endorsement should indicate the following points: (1) The proposal merits careful consideration by NASA; and (2) If the proposal is selected, sufficient funds will be made available by the sponsoring foreign agency to undertake the activity as proposed.

Proposals, along with the requested number of copies and Letter of Endorsement must be forwarded to NASA in time to arrive before the deadline established for this NRA. In addition, one copy of each of these documents should be sent to:

NASA Headquarters
Office of External Relations
Mission to Planet Earth Division, Code IY
Washington, DC 20546
USA

Any materials sent by courier or express mail should include the street address 300 E Street, S. W., and substitute 20024 for the indicated ZIP code.

All proposals must be typewritten in English. All non-U.S. proposals will undergo the same evaluation and selection process as those originating in the U.S. Non-U.S. proposals and U. S. Proposals that include non-U.S. participation, must follow all other guidelines and requirements described in this NRA. Sponsoring non-U.S. agencies may, in exceptional situations, forward a proposal without endorsement to the above address, if review and endorsement are not possible before the announced closing date. In such cases, however, NASA's Mission to Planet Earth Division of the Office of External Relations should be advised when a decision on the endorsement is to be expected.

Successful and unsuccessful proposers will be contacted directly by the NASA Program Office coordinating the NRA. Copies of these letters will be sent to the sponsoring government agency.

Certification Regarding
Debarment, Suspension, and Other Responsibility Matters
Primary Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participant's responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulation may be obtained by contracting the U.S. Department of Education, Grants and Contracts Service, 400 Maryland Avenue, S.W. (Room 3633 GSA Regional Office Building No. 3), Washington, DC. 20202-4725, telephone (202) 732-2505.

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

ED Form GCS-008 (REV.12/88)

Certification Regarding Drug-Free Workplace Requirements
Grantees Other Than Individuals

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 34 CFR Part 85, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment (see 34 CFR Part 85, Sections 85.615 and 85.620).

This grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs, and
 - (4) The penalties that may be imposed upon employees for drug abuse violations in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2) , with respect to any employee who is so convicted -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraph (a), (b), (c), (e), and (f).

Organization Name

PR/Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

ED 80-0004

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

Signature and Date

Name and Title of Authorized Representative

Organization Name

Proposal Cover Sheet
NASA Research Announcement

Proposal No. _____ (Leave Blank for NASA Use)

Title: _____

Principal Investigator:

Name: _____

Department: _____

Institution: _____

Street/PO Box: _____

City: _____ State: _____ Zip: _____

Country: _____ E-mail: _____

Telephone: _____ Fax: _____

Co-Investigators:

| Name | Institution | Telephone |
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Budget:

1st Year: _____ 2nd Year: _____ 3rd Year: _____

Total: _____

Authorizing Official: _____
(Name) (Institution)